

**United States Department of Justice**  
Annual Report to Congress on Implementation of Public Law 106-107

To comply with the requirements of The Federal Financial Assistance Management Improvement Act of 1999 (Public Law 106-107, "the Act"), the United States Department of Justice (DOJ) hereby submits this annual report. This report is intended to outline the DOJ specific efforts and progress in implementing Public Law 106-107 thus far.

**Participation in the Government-wide Streamlining and Grants.gov Efforts**

The DOJ has designated numerous individuals to participate in both the P.L. 106-107 and the Grants.gov initiatives. These individuals actively participate in the three designated interagency work groups (Pre-Award, Post Award, and Audit Oversight) responsible for the streamlining and simplification process, as well as several sub-groups and specially formed teams. The efforts and accomplishments of these work groups are discussed in more depth in the government-wide portion of this report.

The DOJ is represented in both the Discretionary and Mandatory award subgroups under the Pre-Award work group. Staff participated in developing the standard format for funding announcements, which agencies began using this fiscal year, and the core data elements in applications for discretionary awards. The Mandatory award subgroup is currently reviewing the discretionary data elements to determine their applicability for mandatory (formula and block) grant programs. The Pre-Award work group is also working to develop a standard format for discretionary awards, which will include terms and conditions that would be used across Federal agencies.

In addition to the three designated work groups, the DOJ has devoted staff to other specially formed "Line of Business" teams. An OJP employee represents the DOJ on the Grants Line of Business Task Force. This team performed an analysis of alternatives of different approaches to grants management systems, and developed a recommended "common solution" to the grants management line of business. Other staff have participated in the Grants Line of Business Architecture Work Sub Group, which reviewed the architectural review of the proposed grants.gov approach alternatives.

Both the Office of Justice Programs (OJP) and the office Community Oriented Policing Services (COPS) have been very active participants in the Grants.gov efforts. Monetary support for the Grants.gov initiative includes the commitment of \$1.82 million for fiscal years 2002-2004, and all contributions have been received by the Grants.gov Program Management Office (PMO). In addition to monetary support, a staff member was detailed from the Office of Justice Programs to the Grants.gov PMO for a 6-month tour of duty. Effective April 2004, the COPS office posted its first grant solicitation available for online submission via Grants.gov. The DOJ is a "medium-size" partner in the process and has a seat on the Grants.gov Executive Steering Committee.

Finally, Justice representatives attend all Grants.gov Stakeholder and Inter-Agency Electronic Grants Committee (IAEGC) meetings and participated in focus group sessions.

### **Internal Efforts to Create an Environment Conducive to Grants Streamlining and Simplification and Assess Impact of Changes**

#### **General Approach**

##### Office of Justice Programs

The Office of Justice Programs, Office of the Chief Information Officer (OCIO), conducted training on the Grants Management System (GMS) for both OJP staff and grant recipients. This training provided instructions on applying for Federal funding as well as how to report all programmatic and financial activities utilizing the GMS on-line system. The Corporate User Group (CUG), comprising representatives from all program and support offices, continues to meet bi-weekly to discuss current initiatives being undertaken to support E-Government. The OJP Comptroller is the designated P.L. 106-107 policy official for the DOJ, and continues to brief the OJP Leadership Team on all current and future initiatives of the grants streamlining and simplification process, as appropriate. The DOJ keeps grant recipients informed of any new requirements through its Regional Financial Management Seminars.

The web-based SF-269 system was one streamlining and automation initiative that OJP deployed this past year. This on-line system allows grantees to submit their Financial Status Reports (FSRs) over the Internet and view detailed information about their specific grant awards. This system not only improves the accuracy and timeliness of FSRs submitted by grantees, but greatly reduces the number of calls made to the Office of the Comptroller's (OC) Customer Service Center and saves man-hours required to manually process FSRs. We have estimated that the implementation of this web-based SF-269 system will save over 1 million pieces of paper per year and eliminate more than 56 million key strokes per year. This system also sends an e-mail notification to grantees reminding them when their SF-269 is due. Delinquent submission of these financial reports has the impact of withholding grant funds. By implementing the web-based SF-269, OJP has realized more efficient receipt and processing of these financial reports.

During this past year, OJP also implemented an automatic payment notification e-mail to both grantees and contractors when payments have been made.

The OJP has also completed the following build out activities to support the streamlining of the decision and award process:

Peer Review - OCIO developed and piloted the online module for peer review of applications for discretionary programs. OJP has realized significant time and cost savings in conducting peer reviews online versus the traditional paper based approach.

Progress Reporting - OCIO developed and implemented an online module for the collection of performance and progress reports. Delinquent progress reports can have the impact of

withholding grant funds to the grantee until the progress reports are brought up to date. By implementing the online progress reports module, OJP has realized more efficient receipt and processing of the progress/performance reports.

SubGrant Reporting - OCIO developed and implemented online SubGrant Reporting for the Office of Juvenile Justice and Delinquency Prevention and the Office for Victims of Crime formula program grantees. These formula programs have rules associated with the expenditure of Federal grant money to subgrantees. These business rules are enforced by the application and allow for greater access to the subgrants being made by the formula recipients.

On December 31, 2003, OJP deployed the Award Notification and Acceptance (ANA) module through the GMS system to electronically issue an award instead of mailing it.

### Community Oriented Policing Services

Currently, a cross-divisional working group exists that is tasked with reviewing all of the current COPS application forms and is standardizing and streamlining them.

Information on Grants.gov and COPS application streamlining efforts was distributed at the annual COPS Conference. We are also looking at how we can incorporate this information into the COPS monthly Grants Management Training sessions so that COPS can keep its grantees up to date on the progress of implementation of P.L. 106-107. COPS also distributes this information at the various conferences attended throughout the year. E-government and Management staff have trained divisional staff on the background of P.L. 106-107 and have presented information sessions on Grants.gov.

COPS is creating a section on the Internet for external customers and another on the COPS Intranet for employees that will detail the background of P.L. 106-07, progress updates and information related to our system integration with Grants.gov.

COPS plans to assess the impact of these new policies by reviewing application data, once the streamlining efforts are complete and the system integration with Grants.gov is established.

COPS Office integration efforts with Grants.gov is included in the bi-weekly COPS newsletter and is available to both internal and external users.

### **Implementing the Recent Changes Affecting the Pre-Award Process**

#### **Grants.govFIND:**

Both OJP and COPS post their competitive, discretionary grants on grants.gov.

Several applicants indicated that the ability to search funding opportunities via subject type, agency, date range, etc and receive notification of those funding opportunities was an extremely effective way to track funding opportunities.

## **Announcement Template**

The OJP implemented the use of the announcement template in FY 2004 for all its competitive discretionary announcements. COPS distributed the announcement template to the required staff and implemented it in FY 2004. COPS E-government staff was tasked with ensuring that the template was followed and subsequently posting the information for each open solicitation. COPS has found that they were able to reach applicants faster when using the Announcement Template on the Grants.gov FIND module. It also appears that COPS applicants liked having a point of contact listed for the announcement as well as a contact for online questions. By using the template the COPS Office was able to notify the applicants of new programs much more quickly than relying on the old process of paper based notice of funding availability (NOFAs).

## **The Grants.gov Portal for Electronic Application**

Effective October 1, 2003, DOJ/OJP included language in all solicitations requiring the submission of the Dun and Bradstreet Data Universal Numbering System (DUNS) number in every application for a new award or renewal of an award. The DUNS number is required whether an applicant submits an application through OJP's Grant Management System or through Grants.gov. The solicitation includes instructions on how to obtain the DUNS number at no cost and provides a toll-free number to OC's Customer Service Center for assistance.

The OJP is working on a system to system interface and the proof of concept was demonstrated to the grants.gov stakeholders in September 2003. The OJP anticipates completing work on the interface in FY2005.

The DOJ has also participated on the Business Partner Network (BPN) Data Analysis Team. This team has compared and analyzed the data elements from the Central Contractor Registry (CCR) to those of the revised SF 424 application in order to recommend changes or additions to the CCR that will make this registry useful for Grants.gov.

In FY2004, the COPS Office received 19 applications via Grants.gov for the 1 open solicitation offered on Grants.gov. The COPS Office has started the initial requirements review for implementing the system to system integration with Grants.gov. The COPS Office will make all of its 2005 open solicitations available on Grants.gov for applicants to use. COPS' staff regularly attend the monthly Grants.gov stakeholder meetings to keep current on the latest system integration requirements and features available for grantees. The COPS Management System (CMS) will be enhanced in FY2005 to allow for the electronic receipt of applications from Grants.gov. A working group has been created to review the current business practices and identify changes required to implement the system to system integration.

## **Other**

- Current initiatives include expanding the OJP's GMS to provide complete end-to-end

support for all phases of the grants life cycle. This expansion includes adding grant monitoring, grant adjustment notices, and close-out capabilities.

- The DOJ continues to make progress towards the use of ASAP.gov for payments. This includes continuing to develop an interface from our accounting system to ASAP as well as participating in the User Acceptance Testing (UAT) of ASAP.gov.
- COPS is currently working on a project that will combine the progress reports for their largest grant program with their current annual survey, COPS Count. This streamlined reporting tool will be a web-based program for grantee reporting, program staff review and analysis. This project will be implemented by March 2005. The new report will eliminate the need for multiple reports and by being web-based should provide maximum benefits for both the grantees and the COPS Office.